

Office of the
ATTORNEY GENERAL of FLORIDA
Bill McCollum



Legislative Budget Request

FY 2010-11 through FY 2014-15

Department of Legal Affairs
Department Level Exhibits and Schedules

PL 01 The Capital
Tallahassee, Florida 32399-1050



BILL McCOLLUM
ATTORNEY GENERAL
STATE OF FLORIDA

OFFICE OF THE ATTORNEY GENERAL

John L. Hamilton
Director of Administration

The Capitol
Tallahassee FL 32399-1050
Telephone (850) 414-3300, SunCom 994-3300

Legislative Budget Request

Department of Legal Affairs

Tallahassee

October 15, 2009

Jerry L. McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, Florida 32399-0001

JoAnne Leznoff, Council Director
House Full Appropriations Council on General Government & Health Care
221 Capitol
Tallahassee, Florida 32399-1300

Skip Martin, Council Director
House Full Appropriations Council on Education & Economic Development
221 Capitol
Tallahassee, Florida 32399-1300

Cynthia Kelly, Staff Director
Senate Policy and Steering Committee on Ways and Means
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Legal Affairs is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2010-11 Fiscal Year. This submission has been approved by Attorney General Bill McCollum.

Sincerely,

A handwritten signature in black ink, appearing to read "John L. Hamilton", with a long horizontal flourish extending to the right.

John L. Hamilton
Director of Administration

Non-Strategic IT Service:		Network Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics: Ver 1				
Dept/Agency: Dept. of Legal Affairs/Attorney General								
Prepared by: Deborah Stevens / Director of Information Technology								
Phone: 850-414-3511								
Service Provisioning -- Assets & Resources (Cost Elements)			# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
Footnote Number			Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			3.00		\$322,314	\$288,478	\$288,478	\$0
A-1.1	State FTE		3.00		\$322,314	\$288,478	\$288,478	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			484	13	\$506,445	\$230,240	\$237,680	\$7,440
B-1	Servers	1, 4, 10, 13	44	13	\$240,000	\$74,400	\$81,840	\$7,440
B-2	Server Maintenance & Support	2	140	0	\$40,700	\$0	\$0	\$0
B-3.1	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	1, 3, 4	70	0	\$99,660	\$88,700	\$88,700	\$0
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	1, 4, 8	230	0	\$126,085	\$67,140	\$67,140	\$0
C. Software					\$45,500	\$44,310	\$44,310	\$0
D. External Service Provider(s)					\$258,690	\$276,611	\$276,611	\$0
D-1	LAN External Service Provider		0	0	\$0	\$0	\$0	\$0
D-2	WAN External Service Provider	4, 5, 9, 11	0	0	\$258,690	\$276,611	\$276,611	\$0
E. Plant & Facility for LAN/WAN Service			6	0	\$52,416	\$54,000	\$54,000	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
H. Total for IT Service					\$1,185,365	\$893,639	\$901,079	\$7,440
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Standard life expectancy for all Network Service hardware is 5 years. Of the 44 non strategic servers, 13 are out of warranty hardware used for various purposes, leaving 31 as the number of servers used in calculating annual replacement costs.							
2	We do not pay hardware maintenance on servers, nor have any service contracts.							
3	Total represents 20% annual switch replacement (5-yr replacement cycle) of \$52,000 + \$8000 cabling + \$28,700 annual maintenance.							
4	These expenditures may be paid from OCO, Expense, Data Processing Services, or numerous Special Catagories.							
5	Annual WAN External Service Provider Costs: ISDN \$1,186.00 + MAN \$24,660.00 + DMZ \$17,764.20 + WAN \$186,889.80 + AIRCARDS \$46,111.27 = \$276,611.27							
6	There are 20 Computer/LAN rooms in 13 offices around the state							
7	Annual software maintenance. Quantity includes (72 Diskkeeper, 21 Undelete, 40 Storage Replicator, 10 Backup Exec total \$15,800). Added Citrix Server and clients (70 client licenses and annual verisign certificate total \$4,010), Sire Imaging system costs (1 Sire system, OCR, 60 client and 16 scanning total \$24,500) to Column B and C.							
8	Quantity includes 192 network printers and 38 UPS devices. Annual maintenance on network printer/scanners: \$3500. Printers are only replaced as needed, approx 8-yr cycle @ \$2000 each. UPS annual costs approximately \$15,640/yr.							
9	Service plan costs for 83 aircards is \$46,111.27. Needed for mobile workforce of field investigators and attorneys.							
10	There are a total of 72 servers. 20 are strategic. Others removed 7 Email/Messaging, 1 risk Leaving a total of 44 Non-Strategic servers.							
11	There are eight investigative networks all are strategic and not included.							
12	Strategic software not included ReferenceUSA investigative research tool (12 licenses total \$14,800), 40 Sire licenses for victims unit.							
13	Previous years, all servers had been reported in this service. Reduction in server costs represents this correction.							
14								
15								

IT Service Requirements Worksheet: Network Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
 Submitted by: **Deborah Stevens, Director of Information Services**
 Phone: **850-414-3511**
 Date submitted: **10/15/2009**

Network Service

This service enables data connectivity and transport using Local Area Network (LAN) and/or Wide Area Network (WAN) technologies. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the LAN Service:			
1	Intel Windows 2003 Server	5	Nortel/Cisco Routers
2	Nortel/Cisco Ethernet Switches	6	HP Openview Network Management
3	MyFlorida Net Internet Access	7	HP Network Printers / Dell Printers/APC Power Backup
4	MyFlorida Net "WAN Access"	8	Verizon aircards for mobile computing needs

1. IT Service Definition

1.1. Who is the LAN service provider? ***(Indicate all that apply)***

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> Another State agency | |

1.2. Who is the WAN service provider? ***(Indicate all that apply)***

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.3. Who uses the service? ***(Indicate all that apply)***

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.2)

1.4. Please identify the number of users of the Network Service. 1323

1.5. How many locations currently host IT assets and resources used to provide LAN services? 16

1.6. How many locations currently use WAN services? 15

1.7. What types of WAN connections are included in this service? ***(Indicate all that apply)***

- | | | |
|--|--------------------------------------|---|
| <input type="checkbox"/> ATM | <input type="checkbox"/> Frame Relay | <input type="checkbox"/> Cellular Network |
| <input checked="" type="checkbox"/> SUNCOM RTS | <input type="checkbox"/> Internet | <input type="checkbox"/> Dedicated Wired connection |
| <input type="checkbox"/> Radio | <input type="checkbox"/> Satellite | <input type="checkbox"/> Dial-up connection |
| <input checked="" type="checkbox"/> Other <u>MyFloridaNet Public VRF and MyFloridaNet WAN and Internet</u> | | |

2. Service Unique to Agency

IT Service Requirements Worksheet: Network Service

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) Very
 similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

The agency utilizes DMS for these services. We would not utilize another service provider as long as it is provided through this recommended DMS solution.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The Internet service is provided by a Communications Contract with DMS. If DMS stopped offering this service, we would evaluate other service providers for WAN and Intranet and Internet services on a public VRF.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for LAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Server, Switch and Router Hardware maintained to ensure maximum uptime; needed 24x7.

3.2. Has the agency specified the service level requirements for WAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Network service is required 24x7. Additionally, remote access via aircards is needed for mobile computing for attorney access from courtrooms, field investigative staff, and secure network access while traveling and working offsite.

3.3. Timing and Service Delivery Requirements

3.3.1. Hours/Days that service is required *(e.g., 0800-1600 M-F, 24/7)* for:

3.3.1.1. Online availability 24/7

3.3.1.2. Offline and availability for maintenance Scheduled

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 5 min, 15 min, 60 min)*? 5 Minutes

3.3.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The WAN provides backbone connectivity between the Agency's facilities throughout the state and allows access to central computer applications that support strategic Agency services. If

IT Service Requirements Worksheet: Network Service

users lose access to data and the Internet, this could have an adverse impact on cases such as: inability to respond quickly in pending death penalty cases; inability to complete timely electronic filing of court documents; inability to support price gouging hotline during statewide emergencies; and significantly reduce field office efficiency.

3.3.3. Does the agency have a standard for required bandwidth its locations? Yes No

If yes, indicate the standard (*e.g. fiber channels for certain locations*)

The majority of our sites are @ 3 Megabits and the remaining are T-1 lines

3.3.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Need 24x7 network access to: respond quickly in pending death penalty cases; complete timely electronic filing of court documents; support price gouging hotline during statewide emergencies; and maintain office productivity that frequently requires after-hours work.

3.3.5. What are security requirements for this IT service? (*Indicate all that apply*)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.3.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.3.6.1. If yes, please specify and describe:

Agency policies, state policies, and federal policies. Data other than public record is available only to designated agency employees.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

- Yes
- No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes
- No

4.2.1. If no, what changes need to be made to the current IT service? (*Briefly explain*)

The statewide video-conferencing system is over 10 years old and it is insufficient to support our business needs. It has also become unreliable, does not provide multipoint capabilities and it does not allow for conferencing with outside entities.

IT Service Requirements Worksheet: Network Service

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resources or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

6. General Revenue, Trust Fund, Special Legislative Funds

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Number of locations is required in order to support staff located near judicial (courthouse) facilities around the state, as determined by business need of the agency.

Non-Strategic IT Service:		Desktop Computing Service						
Agency: Dept. of Legal Affairs/Attorney General		Form: FY 2010-11 Schedule IV-C - Non-Strategics: Ver 1						
Prepared by: Deborah Stevens / Director of Information Technology		# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs				
Phone: 850-414-3511				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			6.00		\$489,728	\$427,904	\$427,904	\$0
A-1	State FTE	5	6.00		\$489,728	\$427,904	\$427,904	\$0
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			1892	0	\$554,500	\$300,680	\$300,680	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3.1	Desktop Computers	1	1417	0	\$350,625	\$233,805	\$233,805	\$0
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	2	375	0	\$98,875	\$63,750	\$63,750	\$0
B-3.3	Other Hardware Assets (e.g., system mgt workstation, printers, scanners, etc)	3,4	100	0	\$105,000	\$3,125	\$3,125	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$1,044,228	\$728,584	\$728,584	\$0
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Based on 20% replacements @ \$825/desktop. Replacement schedule has been modified from 4 years to 5 years.							
2	Based on 17% replacements @ \$1000/laptop. Replacement schedule has been modified from 5 years to 6 years.							
3	Based on 25% replacement @ \$125/unit for desktop printer/scanners.							
4	Prior years used replacement schedule/costs as for high-end networked printers/scanners, which are now reported in Network Service. As more lower-end desktop printers have been purchased, life span is shorter, but replacement costs are much lower.							
5	Total 6 FTE actually represents staff time across at least 19 different people.							
6								
7								
8								
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IT Service Requirements Worksheet: Desktop Computing Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
 Submitted by: **Deborah Stevens, Director of Information Services**
 Phone: **850-414-3511**
 Date submitted: **10/15/2009**

Desktop Computing Service

This service enables use of standard office automation functions, as well as access to other applications that require standard desktop functionality. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the Desktop Computer Service:			
1	Lotus Notes Client Software	5	Corel WordPerfect 9
2	Dell Desktop and Laptops	6	Microsoft Windows XP Pro, Office Standard and Pro
3	Hewlett Packard Laptops and printers	7	Adobe Professional and other miscellaneous SW
4	Gateway Desktops and Laptops	8	e-Discovery (HW/SW/file formats)

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- State Primary Data Center
- Other External service provider

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 1323

1.4. How many locations currently use desktop computing services? 16

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No, Unknown)* No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

Extensive support of the Lotus Notes client is essential to this agency. Additionally, agency IT staff are very cross-functional. While only 6 total FTEs are used for Desktop support throughout our 16 locations, at least 19 different IT staff provide some type of support to this desktop service area, including the 8 regional IT staff in locations outside of Tallahassee. Additionally, the regional IT

IT Service Requirements Worksheet: Desktop Computing Service

staff performing the majority of the regional desktop support ALSO provide support for strategic services and numerous other non-strategic services. This enables us to provide this service in a very cost effective way, with statewide staff supporting both Help Desk and Desktop/Laptop support, and other services as needed. All desktops utilize unique Lotus Notes mail templates and applications that have been developed within the agency specifically for the business operation of the bureaus in which they are installed.

Service level requirements would need to be validated to ensure another IT service provider could install and update desktop software and trouble-shoot the desktops for the Agency's 1200 plus users in 13 locations throughout the state in a timely, cost efficient manner. Due to wide dispersion of office locations throughout the state, and the agency-specific Lotus Notes desktop configuration, it would be economically unfeasible for another state agency or IT service vendor to provide this service at the same or lesser cost than those currently incurred by the Agency. The Agency establishes and controls the priorities and order in which desktop computing services are provided and escalates problem resolution activities when the needs dictate an escalation is necessary.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscientious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and service at the expense of its employees, or business operations.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc. Down-time could have an adverse legal impact on cases such as death penalty cases.

Also, see agency-unique service requirements below.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Must support desktops and laptops in our Lotus Notes client environment. Additionally must support remote use of clients including courthouse access, field investigative work, and secure encrypted mobile computing when traveling and working offsite. Also see agency-unique service requirements below.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) M-F 7:30 – 5:30

3.2.2. What are the impacts on the agency's business if the Desktop Service is not available?

Variable from low to severe depending on the unit and the current situation.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Must accommodate and support a mobile workforce and unique Agency software.

IT Service Requirements Worksheet: Desktop Computing Service

Agency specific service requirements include Notes integration, historical "knowledge base", and technical support of agency-specific strategic services.

Desktop support may be provided by as many as 19 different staff, but only totaling approximately 6 FTEs. This allows the IT organization to be very "flat" and nimble, with extensive cross support, both for different subject areas and for different tiers of expertise. The Desktop service area also provides extensive support of strategic service areas including technical support of courtroom technology (for trials, hearings, depositions, etc.) and technology used for school cybersafety presentations in middle and high schools around the state, at times staff having to accompany users to offsite locations. Numerous types of hardware, software, and filetypes must be supported, both for internal use and for e-Discovery purposes. Additionally, in order to keep costs low, our Help Desk /Desktop staff perform extensive hardware repairs on desktops/laptops/printers/scanners, allowing the agency to avoid service contracts, and reducing money spent on parts by re-using parts from other equipment. Immediate response for mobile/remote computing is often needed, to support staff who travel extensively and sometimes on a moment's notice. In addition to regular hours, help desk assistance is available after hours via emergency contact numbers and/or escalation through IT Director.

3.2.4. What are security requirements for this IT service? **(Indicate all that apply)**

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Agency Policies, data other than public record is available to designated agency employees.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- Yes
- No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes
- No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

The current service levels are basically adequate, but being challenged. Due to budget constraints we have not been able to maintain the agency's planned replacement schedule for desktops, laptops or printers. We are currently using surplus machines for spare parts and are unable to adequately support equipment that is no longer covered under extended service contracts. Further the agency has expanded its role in mobile computing, security encryption and document scanning, which has stretched our already limited resources to the point where quality of service is being threatened.

IT Service Requirements Worksheet: Desktop Computing Service

4.2.2. List any significant projects (e.g., total cost more than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Federal Grants, and Trust Funds

5.2. Other comments

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Number of locations represents all locations statewide where employees utilize desktop systems. There are only 7 locations where IT staff performing desktop services are housed. Other locations are supported remotely or with occasional travel by IT staff as needed. As many as 19 different IT staff perform some level of desktop support as needed.

**Schedule IV-C: Information Technology
(IT) Costs and Service Requirements**

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service						
Agency: Dept. of Legal Affairs/Attorney General							Form: FY 2010-11 Schedule IV-C - Non-Strategics: Ver 1	
Prepared by: Deborah Stevens / Director of Information Technology		# of Assets & Resources Apportioned to this IT Service in FY 2009-10		Estimated IT Service Costs				
Phone: 850-414-3511				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			1.00		\$112,191	\$91,192	\$91,192	\$0
A-1	State FTE	6	1.00		\$112,191	\$91,192	\$91,192	\$0
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			6	1	\$12,000	\$0	\$0	\$0
B-1	Servers	4	6	1	\$12,000	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3.1	Wireless Communication Devices & Related Hardware		0	0	\$0	\$0	\$0	\$0
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software		1, 2, 3			\$125,400	\$35,914	\$35,914	\$0
D. External Service Provider(s)		5	0	0	\$0	\$40,939	\$40,939	\$0
E. Plant & Facility			0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$249,591	\$168,045	\$168,045	\$0
Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service								
Non-Strategic Service		Footnote	%	Cost	To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV-C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.			
OT-1	Network							
OT-2	Desktop IT Service	7	0.00%	\$ -				
OT-3	Help Desk	7	0.00%	\$ -				
OT-4	IT Security & Risk Mitigation							
OT-5	IT Administration & Management							
				SUBTOTAL	\$ -			
Fully-loaded IT Service Cost					\$	168,045		
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	In prior years, entire Lotus Notes licensing costs were reported in E-Mail Service. Reduction is due to this correction to only include Notes licensing cost specific to e-mail. Addition of Blackberry data service plans in External Service Provider.							
2	Software licensing costs include maintenance for, \$2385x5 Notes/SMTP/Sametime=\$11,925, \$614 Domino Messaging, Blackberry Enterprise Server (CALs 1-30 \$1,285.94 + Cals 31-96 \$1,529.22 = \$2,815.19), Email filter subscription \$20,560 Total \$35,914							
3	Because of different category structures with different budget entities these expenditures can be paid from OCO, Expenses, Data Processing Services or numerous Special Categories.							
4	There are a total of 6 Email/Messaging servers, 3 mail, 1 smtp, 1 blackberry, 1 sametime. NO server replacements planned for FY2009-10 or FY2010-11.							
5	Blackberry service plan costs paid to Verizon for e-mail (unlimited data) service: 91 devicesx\$37.49 => \$40,939 per year. Needed for mobile workforce of field investigators and attorneys.							
6	Total 1 FTE actually represents staff time across at least 8 different people.							
7	Personnel costs already represent e-mail overhead for the entire I.T. staff, actually representing staff time across at least 8 different people.							
8								
9								
10								

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
 Submitted by: **Deborah Stevens, Director of Information Services**
 Phone: **850-414-3511**
 Date submitted: **10/15/2009**

E-Mail, Messaging, and Calendaring Service

This service enables users to send and receive e-mail and attachments, perform departmental calendaring, manage address lists, create and maintain shared or private folders, and store message data provided through the e-mail service. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	Lotus Notes Server	5	Verizon Data Plan for Blackberry Service
2	Lotus Notes Client	6	Sametime Server
3	Blackberry Server	7	
4	Blackberry Client	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- State Primary Data Center
- Other External service provider

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.2)

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. 1323

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 3

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No)* No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

E-Mail is only one part of the enterprise wide Lotus Notes architecture. It is essential to the successful development and operations of the many workflow and collaboration applications customized for this agency. It cannot be separated from the enterprise Notes platform without extensive cost and effort, as well as residual loss in productivity for IT staff and agency employees.

Also, the Agency must retain its ability to add, delete, or change email accounts and access in a timely manner, immediately in emergency terminations. The ability to retrieve and review deleted or archived email is a requirement in ongoing investigations and public record requests.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscientious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and lesser service at the expense of its employees.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc. Down-time could have an adverse legal impact on cases such as death penalty cases.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Need 24x7 e-mail access to: respond quickly in pending death penalty cases; complete timely electronic filing of court documents; support price gouging hotline during statewide emergencies; and maintain office productivity that frequently requires after-hours work. Need outgoing e-mail sent with near-immediate (5 minute) delivery to external business partners including other state agencies, lawfirms, and other legal/judicial contacts. Need to be able to send thousands of outgoing e-mails for weekly newsletter without getting blacklisted.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0600-2100 M-F, 24/7): 24x7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? 5 Minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Mail delivery is delayed, and while mail is store and forward, down-time greater than 30 min will impact day-to-day functions. Possible impacts: inability to respond quickly in pending death penalty cases; inability to complete timely electronic filing of court documents; inability to support price gouging hotline during statewide emergencies; and significantly reduce field office efficiency.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

Must accommodate a mobile workforce. Must support agency unique Lotus Notes infrastructure for workflow and client applications and databases. Need 24x7 e-mail access to: respond quickly in

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

pending death penalty cases; complete timely electronic filing of court documents; support price gouging hotline during statewide emergencies; and maintain office productivity that frequently requires after-hours work. Need outgoing e-mail sent with near-immediate (5 minute) delivery to external business partners including other state agencies, lawfirms, and other legal/judicial contacts. Need to be able to send thousands of outgoing e-mails for weekly newsletter without getting blacklisted.

3.2.4. What are security requirements for this IT service? **(Indicate all that apply)**

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency records retention or privacy policies, restrictions, or requirements applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State policy; records must be retained to comply with State records retention policies.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

- Yes
- No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes
- No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

E-mail functionality, support, and application integration is adequately meeting the business needs. The current challenge in this service area is due to the lack of an automated, fully functional, archival system. Our current archival system is able to adequately capture historical e-mails for public records retention, but is not easily accessible by employees and requires staff time for manually performing the archive process. No-cost changes to the archival process are being undertaken to automate and reduce productivity impact on staff agencywide. However, there are still limitations to the use of the document-based archival system, rather than a mail-specific archival system.

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Federal Grants, Trust Fund.

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Locations "hosting" e-mail are: Tallahassee, Tampa, and Ft. Lauderdale.

Non-Strategic IT Service:		Helpdesk Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics: Ver 1					
Agency: Dept. of Legal Affairs/Attorney General				# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
Prepared by: Deborah Stevens / Director of Information Technology									
Phone: 850-414-3511									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				1.00		\$174,600	\$76,418	\$76,418	\$0
A-1	State FTE		2,3	1.00		\$174,600	\$76,418	\$76,418	\$0
A-2	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers			0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support			0	0	\$0	\$0	\$0	\$0
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, etc)			0	0	\$0	\$0	\$0	\$0
C. Software			1			\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$174,600	\$76,418	\$76,418	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	Helpdesk System is custom in-house Notes based system developed 10 years ago which has no cost associated with it. No centralized helpdesk.								
2	In prior years, staffing had incorrectly included resources resolving desktop, application, and strategic problems. Reduced number correctly reports total staff resources spent performing help desk duties.								
3	Helpdesk duties are actually shared by at least 11 individuals statewide, who also perform duties in desktop, network, security/risk, IT admin, and strategic service areas.								
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5									
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11									
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14									
15									

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Helpdesk Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
 Submitted by: **Deborah Stevens, Director of Information Services**
 Phone: **850-414-3511**
 Date submitted: **10/15/2009**

Helpdesk Service

This service involves the centralized or consolidated intake and resolution of IT system problems for users and stakeholders throughout the department. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify any major commercial hardware and software associated with the Helpdesk Service:			
1	Lotus Notes (custom app)	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? **(Indicate all that apply)**

- Central IT staff
- Program staff
- Another State agency
- State Primary Data Center
- Other External service provider

1.2. Who uses the service? **(Indicate all that apply)**

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.2)

1.3. Please identify the number of users of this service: **1323**

1.4. How many locations currently host IT assets and resources used to provide helpdesk services? **13**

1.5. What communication channels are used for the service? **(Indicate all that apply)**

- On-line self-serve
- Telephone/IVR
- Remote desktop (e.g., PC Anywhere)
- Other
- On-line interactive
- Face-to-face

1.6. What is the scope of the service provided by the Help Desk: **(Check all boxes that apply)**

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	X	X	X
Referring/escalating	X	X	X
Tracking and reporting	X	X	X
Resolving/closing	X	X	X

IT Service Requirements Worksheet: Helpdesk Service

1.7. Please identify the major IT systems or services for which the Help Desk must provide assistance:

1	Desktops	5	Legal/e-Discovery SW (Summation, Concordance)
2	Laptops	6	Courtroom Technology Support
3	Software	7	Cybersafety presentation technology support
4	Lotus Notes	8	

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No, Unknown)

No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

This service supports unique Agency application problems and their resolutions and does so in a very cost effective way, with statewide staff supporting both Help Desk and Desktop/Laptop support. A small percentage of the calls to the help desk relate to commercial-off-the-shelf software (Microsoft Word, Excel, etc.). The majority of the questions received pertain to unique Agency Lotus Notes applications which another agency or source would have no knowledge or expertise in troubleshooting or resolving.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscientious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and lesser service at the expense of its employees and business operations.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, legal research and brief banks etc. Down-time would have an adverse legal impact on cases such as death penalty cases.

Also, see agency-unique service requirements below.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

IT Service Requirements Worksheet: Helpdesk Service

Response to help desk request within 15 min. Also, see agency-unique service requirements below.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required (*e.g., 0800-1600 M-F, 24/7*) M-F 7:30 – 5:30

3.2.2. What are the impacts on the agency’s business if the Help Desk service is not available?

Users will not be able to access mission critical applications and legal functions.

3.2.3. What is the average monthly volume of calls/cases/tickets? 887

3.2.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Agency specific service requirements include Notes integration, historical “knowledge base”, and technical support of agency-specific strategic services.

Effectively, there is no centralized Help Desk, nor is there any cost for Help Desk software, since a custom Notes app was developed 10 years ago that provides full-text searching of historical tickets, enabling low-cost knowledge base functionality. Help Desk requests can be made via phone or e-mail. E-mail requests automatically generate a ticket that can then be “picked up” or assigned by virtually anyone in the IT staff. This allows the IT organization to be very “flat” and nimble, with extensive cross support, both for different subject areas and for different tiers of expertise. The “Help Desk” also provides extensive support of strategic service areas including technical support of courtroom technology (for trials, hearings, depositions, etc.) and technology used for school cybersafety presentations in middle and high schools around the state, at times staff having to accompany users to offsite locations. Numerous types of hardware, software, and filetypes must be supported, both for internal use and for e-Discovery purposes. Additionally, in order to keep costs low, our Help Desk /Desktop staff perform extensive hardware repairs on desktops/laptops/printers/scanners, allowing the agency to avoid service contracts, and reducing money spent on parts by re-using parts from other equipment. Immediate response for mobile/remote computing is often needed, to support staff who travel extensively and sometimes on a moment’s notice. In addition to regular hours, help desk assistance is available after hours via emergency contact numbers and/or escalation through IT Director.

3.2.5. What are security requirements for this IT service? (*Indicate all that apply*)

- | | |
|---|--|
| <input checked="" type="checkbox"/> User ID/Password | <input checked="" type="checkbox"/> Access through Internet or external network |
| <input type="checkbox"/> Access through internal network only | <input checked="" type="checkbox"/> Access through Internet with secure encryption |
| <input type="checkbox"/> Other _____ | |

3.2.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.2.6.1. If yes, please specify and describe:

Agency policy states that any data other than public record is accessible to designated employees with the agency.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, trust funds, federal grants and funds

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Number of locations is required in order to support staff located near judicial (courthouse) facilities around the state, as determined by business need of the agency.

Non-Strategic IT Service: **IT Security/Risk Mitigation Service**

Form: FY 2010-11 Schedule IV-C -Non-Strategics: Ver 1

Agency: Dept. of Legal Affairs/Attorney General

Prepared by: Deborah Stevens / Director of Information Technology

Phone: 850-414-3511

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		2.25		\$86,832	\$172,275	\$172,275	\$0
A-1 State FTE	2	2.25		\$86,832	\$172,275	\$172,275	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		1	0	\$0	\$0	\$0	\$0
B-1 Servers	1	1	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)		0	0	\$0	\$0	\$0	\$0
C. Software	1			\$47,060	\$16,781	\$16,781	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$133,892	\$189,055	\$189,055	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	Security system which includes subscription service for 1350 users, and use of hardware appliance.
2	Increased staff time represents implementation of additional encryption technology.
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FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
Submitted by: **Deborah Stevens, Director of Information Services**
Phone: **850-414-3511**
Date submitted: **10/15/2009**

IT Security/Risk Mitigation Service

This service involves the implementation of measures to reduce risk and ensure continuity of the IT Services supporting the agency. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

1. IT Service Definition

1.1. Who is the service provider? (*Indicate all that apply*)

- | | | | |
|-------------------------------------|----------------------|--------------------------|---------------------------------|
| <input checked="" type="checkbox"/> | Central IT staff | <input type="checkbox"/> | State Primary Data Center |
| <input type="checkbox"/> | Program staff | <input type="checkbox"/> | Other External service provider |
| <input type="checkbox"/> | Another State agency | | |

1.2. Who uses the service? (*Indicate all that apply*)

- | | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Agency staff (state employees or contractors) |
| <input type="checkbox"/> | Employees or contractors from one or more additional state agencies |
| <input type="checkbox"/> | External service providers |
| <input type="checkbox"/> | Public (please explain in Question 5.2) |

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(*Identical, Very Similar, No*) **No**

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

Lotus Notes replication and redundancy is critical.

Service level requirements will need to be validated to insure another agency or source could provide the necessary support for the Agency's risk assessment, mitigation, and disaster recovery processes and plans. The Agency must be able to retain its authority for establishing priorities and schedules for continuity of operation plan and disaster recovery plan executions and implementation.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and lesser service at the expense of its employees.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc. Down-time could have an adverse legal impact on cases such as death penalty cases.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
 Yes; informal agreement(s)
 No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Agency management has identified a business requirement for e-mail, remote access, and core Lotus Notes applications to be available as quickly as possible following a major disaster affecting core operations in Tallahassee.

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24/7
- 3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? 15 minutes – 72 hours
- 3.2.3. How frequently must the IT disaster recovery plan be tested? Quarterly
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 15 minutes
- 3.2.5. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Must support internally-developed applications running on a Lotus Notes system, including replication and redundancy.

3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)

- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____

3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes No

If yes, please specify and describe:

Agency Policies and Data, other than Public Record, available only to designated Agency staff.

4. User/customer satisfaction

4.1. Are service level metrics reported regularly to business stakeholders or agency management?

- Yes No

If yes, briefly describe the frequency of reports and how they are provided:

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

Current Disaster Recovery Plan provides for adequate data recovery, but does not provide sufficient operational support for ongoing services in the event of a disaster affecting core operations in Tallahassee. Plans are underway to consolidate hardware in Collins to move some additional hardware to Orlando for improved DR.

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Trust Funds and Federal Grants.

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

Number of users (1323) in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.
 Number of locations is required in order to support staff located near judicial (courthouse) facilities around the state, as determined by business need of the agency.

Non-Strategic IT Service: **IT Administration and Management Service**

Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1

Agency: **Dept. of Legal Affairs/Attorney General**

Prepared by: **Deborah Stevens / Director of Information Technology**

Phone: **850-414-3511**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		1.25		\$242,059	\$91,302	\$91,302	\$0
A-1 State FTE	1, 2	1.25		\$242,059	\$91,302	\$91,302	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$242,059	\$91,302	\$91,302	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	In prior years, staff time spent on strategic services areas had been incorrectly included in this service. Reduction represents correction.
2	Low IT Admin cost correctly indicates the flat IT organizational structure (matrix) and lack of overhead for extensive management, project management, and contractual oversight.
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FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
Submitted by: **Deborah Stevens, Director of Information Services**
Phone: **850-414-3511**
Date submitted: **10/15/2009**

IT Administration and Management Service

This service enables the management and administration of the agency's central IT program or unit. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Lotus Notes custom developed applications and databases	5	
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1. IT Service Definition

1.1. Who is the service provider? (*Indicate all that apply*)

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. How many locations currently host assets and resources used to provide IT administration and management services?

3

2. Service Unique to Agency

2.1. If the same level of service could be provided through another agency or external source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.1.1. If yes, what must happen for your agency to use another IT service provider?

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FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

2.1.2. If not, why does your agency need to maintain the current provider for this IT service?

This is part of our Lotus Notes system. IT Administration and Management Service relates to an agency program that is part of the Agency's management function. It cannot be performed by an external service provider. Additionally, our IT organization is very flat and nimble, providing a very cost effective support structure that would be jeopardized with outsourcing of IT Administration and Management.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscientious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and lesser service at the expense of its employees.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc. Down-time could have an adverse legal impact on cases such as death penalty cases.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

I.T. technical response via Help Desk during work hours is 15 minutes for high priority requests such as emergency terminations. After-hours emergency support is provided 24x7 via emergency contact numbers. All technology purchases are reviewed, configured, and approved by IT. Escalation of any IT issues can be made directly to IT Director on a 24x7 basis.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service: 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? 15 min

3.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

If yes, please specify and describe:

Agency policies and statutes pertaining to data security/privacy.

3.2.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Must support internally-developed applications running on a Lotus Notes system. Need 24x7 IT management service to ensure IT and agency ability to: respond quickly in pending death penalty cases; complete timely electronic filing of court documents; support price gouging hotline during statewide emergencies; and maintain office productivity that frequently requires after-hours work.

4. User/customer satisfaction

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs of the agency?

Yes No

If no, what changes need to be made to the current IT service? ***(Briefly explain)***

4.3. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue; trust funds; federal grants.

5.2. Other comments

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Number of locations is required in order to support staff located near judicial (courthouse) facilities around the state, as determined by business need of the agency. In addition to IT management and supervision in Tallahassee, front-line IT supervisors are currently located in Tampa/StPete and WPB/FtLaud/Miami.

Non-Strategic IT Service: **IT Support Service for Agency Financial and Administrative Systems**

Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1

Agency: **Dept. of Legal Affairs/Attorney General**

Prepared by: **Deborah Stevens / Director of Information Technology**

Phone: **850-414-3511**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		1.00		\$80,503	\$73,004	\$73,004	\$0
A-1 State FTE		1.00		\$80,503	\$73,004	\$73,004	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$80,503	\$73,004	\$73,004	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

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FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

Dept/Agency: **Department of Legal Affairs/Office of the Attorney General**
 Submitted by: **Deborah Stevens, Director of Information Services**
 Phone: **850-414-3511**
 Date submitted: **10/15/2009**

IT Support Service for Agency Financial and Administrative Systems

This service enables users in the agency's administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Personnel	5	Property Inventory
2	Telephone Communications Support	6	Contract Management
3	General Services	7	Finance and Accounting
4	Purchasing	8	Executive Staff

1. IT Service Definition

1.1. Who is the service provider? (*Indicate all that apply*)

- Central IT staff
- Program staff
- Another State agency
- State Primary Data Center
- Other External service provider

1.2. Who uses the service? (*Indicate all that apply*)

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.2)

1.3. Please identify the number of users of this service. 1323

1.4. How many locations currently host agency financial/ administrative systems? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? (*Identical, Very Similar, No*) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

Lotus Notes integration is critical. These applications are integrated with each other and with other Notes applications to minimize data entry, eliminate data redundancy, maximize data quality, and improve efficiency in the Agency. As one example, the customized Staff Directory application is

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

used for application determination of roles and access controls for many of our agency-wide applications.

Quality and service can be sacrificed in outsourcing or reduced cost ventures. The Agency provides excellent, timely, and quality customer service. The Agency is very cost conscious and is constantly exploring alternatives to reduce costs, however, it is not interested in acquiring lesser quality and lesser service at the expense of its employees.

We must support internally-developed applications running on a Lotus Notes system. The applications are utilized throughout the agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc. Down-time could have an adverse legal impact on cases such as death penalty cases

3. IT Service Levels Required to Support Business Functions

Answer the following questions for the primary or dominant IT system within this IT Service.

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
 Yes; informal agreement(s)
 No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Availability during standard hours of operation; integration with Lotus Notes; support of automation of bi-annual employee evaluations; integration with FLAIR for nightly and monthly data feeds and reconciliation.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0700-1800 M-F, 24/7*) for:

- 3.2.1.1. User-facing components of this IT service (online) 24/7
3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) Sun/Wed PM

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? 10 min

- 3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The applications are utilized throughout the Agency and if unavailable, employees would not be able to complete many tasks such as purchasing, disbursements, revenue processing, etc.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Lotus Notes integration is critical. These applications are integrated with each other and with other Notes applications to minimize data entry, eliminate data redundancy, maximize data quality, and improve efficiency in the Agency. As one example, the Lotus Notes customized Staff Directory application is used for application determination of roles and access controls for many of our agency-wide applications.

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

3.2.4. What are security requirements for this IT service? *(Indicate all that apply)*

- User ID/Password
 Access through Internet or external network
 Access through internal network only
 Access through Internet with secure encryption
 Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
 No

3.2.5.1. If yes, please specify and describe:

Agency policies and statutes regarding data security and privacy.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- Yes
 No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes
 No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Trust Fund, Special Legislative Funds

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: IT Support Service for Agency Financial and
Administrative Functions**

Number of users in this service area include all permanent State FTE, OPS, paid interns, and unpaid volunteers. Approximately half of agency employees are in locations outside of Tallahassee.

Support for Agency Admin is in Tallahassee office.

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	<i>Department of Legal Affairs</i>		
Contact Person:	Mary Leontakianakos	Phone Number:	(850) 414-3824
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	State of Florida, Office of the Attorney General, Plaintiff vs. Bradenton Group, Inc., et al., Defendants		
Court with Jurisdiction:	Ninth Judicial Circuit, Orange County, FL		
Case Number:	1995-CA-6890-O		
Summary of the Complaint:	In 1995, a RICO injunction was filed against the Bradenton Group, for racketeering activity (Bingo). On 2/11/1996, a jury found in favor of the State on the issues. The Fifth District Court of Appeal reversed the verdict, and remanded the case back to the Ninth Circuit for reconsideration. The 9 th Circuit judge awarded damages to the defendants in the case, and fees & costs to the defendants' attorneys.		
Amount of the Claim:	\$5,336,452.96		
Specific Statutes or Laws (including GAA) Challenged:	Section 16 Attorney General Section 849 Gambling Section 895 Offenses Concerning Racketeering and Illegal Debts		
Status of the Case:	Latest judgment awarding damages (8/20/2008) has been appealed to the Fifth District Court of Appeal. The Solicitor General is handling the appeal for the Department of Legal Affairs.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

Agency:	Agency for Health Care Administration, Department of Children and Family Services, Department of Health		
Contact Person:	Stephanie A. Daniel	Phone Number:	850-414-3666
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p>FLORIDA PEDIATRIC SOCIETY/THE FLORIDA CHAPTER OF THE AMERICAN ACADEMY OF PEDIATRICS; FLORIDA ACADEMY OF PEDIATRIC DENTISTRY, INC.; ASHLEY DOVE, as the next friend of Kaleb Kelley, a minor child; RITA GORENFLO and LES GORENFLO, as the next friends of Thomas and Nathaniel Gorenflo, minor children, JESSY WATLEY, a minor child, by and through his next friend, Edna Watley; N.A., a minor child, by and through his next friend, C.R., K.S., as the next friend of J.S., S.B., as the next friend of S.M., S.C., as the next friend of L.C., and K.V., as the next friend of N.V.¹ v. HOLLY BENSON, in her official capacity as Secretary of the Florida Agency for Health Care Administration; GEORGE SHELDON, in his official capacity as acting Secretary of the Florida Department of Children and Family Services; and ANA M. VIAMONTE ROS, M.D., M.P.H., in her official capacity as the Surgeon General of the Florida Department of Health</p>		
Court with Jurisdiction:	Pending in the U.S. District Court for the Southern District of Florida.		
Case Number:	05-23037-CIV-JORDAN/MCALILEY		
Summary of the Complaint:	<p>This is a putative class action for declaratory and injunctive challenging the administration of the Medicaid Early Periodic Screening, Diagnosis and Treatment Program. The action is brought pursuant to 42 U.S.C. §1983, and various provisions of the Social Security Act, 42 U.S.C. §1396 et seq. Plaintiffs assert that they are being denied access to necessary physician care as well as dental care. The Plaintiffs include both pediatric and dental associations, as well as individual plaintiffs. The named Defendants are the agency heads of the Department of Health, Agency for Health Care Administration, and the Department of Children and Family Services. If Plaintiffs succeed, they seek, among other things, increased reimbursement rates to physician and dentist providers, which they allege will ensure access to services for children.</p>		
Amount of the Claim:	This is an action for prospective declaratory and injunctive relief only. However, Plaintiffs seek an increase in Medicaid reimbursement rates		

¹ This lawsuit involves minor children. While Plaintiffs failed to fully protect the identity of the minor children in the initial and amend complaint, they have complied with appropriate privacy requirements in filing the Second Amended Complaint. Accordingly, these children are identified by initial only.

	for physicians and dentists. Plaintiffs have provided no precise estimates of the increased reimbursement rates they seek. Reportedly, they seek physician fees that are comparable to Medicaid rates (although there are no pediatric equivalents in Medicare rates), and usual and customary fees for dentists. Some estimate that it would cost \$400 million, if Plaintiffs obtain everything they seek.
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. §§1396a(a)(8), (10), (30)(A) & 43.
Status of the Case:	<p>The case has been pending since November 2005. A previously filed motion to dismiss was denied, except for one count of the complaint (dealing with a statutory claim not recited above, 42 U.S.C. §1396u-2(b)(5)). About 100 depositions have been taken in the case, and the case has been litigated by both sides. Both sides have multiple experts. Discovery is closed.</p> <p>A report and recommendation was issued on July 2, 2009, recommending certification of a class (defined as All children under the age of 21 who now, or in the future will, reside in Florida and who are, or will be, eligible under Title XIX of the Social Security Act for Early and Periodic Screening, Diagnosis and Treatment Services), on all remaining claims. Objections were filed, and have been fully briefed. The parties await an order on class certification. Defendants have also filed a motion for summary judgment, which is fully briefed. Presently the case does not have a specific trial date.</p>
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/> Agency Counsel
	<input checked="" type="checkbox"/> Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/> Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	<p>Stuart H. Singer, Esq. Carl E. Goldfarb, Esq. Damien J. Marshall, Esq. Boies, Schiller & Flexner LLP 401 East Las Olas Blvd. Suite 1200 Fort Lauderdale, FL 33301</p> <p>Thomas K. Gilhool, Esq. James Eiseman, Jr., Esq., Public Interest Law Center of Philadelphia 125 South Ninth Street Suite 700 Philadelphia, PA 19107</p> <p>Louis W. Bullock, Esq., Bullock, Bullock, & Blakemore 110 W. 7th Street Tulsa, Oklahoma 74112</p>

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	Attorney General of Florida; Office of Financial Regulation		
Contact Person:	Blaine Winship	Phone Number:	850-414-3657
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bill McCollum, Attorney General of the State of Florida, and State of Florida, Office of Financial Regulation, plaintiffs, v. [YYY, foreign corporation doing business in Florida,] and [employees of YYY]		
Court with Jurisdiction:	Circuit Court of the Second Judicial Circuit, in and for Leon County, Florida		
Case Number:	[Unfiled]		
Summary of the Complaint:	Enforcement action for violations of chapter 517, Florida Statutes (2008), with respect to sales of certain unregistered securities to various portfolio funds of State Board of Administration. Causes of action include: (1) unlawful sales of unregistered securities; (2) securities fraud; (3) statutory unworthiness for failure to know clients and relevant facts; (4) statutory unworthiness for supervisory failures. Remedies to be sought would include restitution (rescission, legal interest on face amount of transactions, attorneys' fees, costs); fines; supervisory improvements.		
Amount of the Claim:	\$500,000 plus (estimate), exclusive of attorneys' fees, costs, fines.		
Specific Statutes or Laws (including GAA) Challenged:	Sections 517.07, 517.301, 517.061, Chapter 517, Florida Statutes (2008)		
Status of the Case:	Unfiled to date		
Who is representing (of record) the state in this lawsuit? Check all that apply.	James McAuley, OFR	Agency Counsel	
	Blaine Winship, Scott Palmer, OAG	Office of the Attorney General or Division of Risk Management	
	N/A	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

Agency:	Attorney General of Florida; Office of Financial Regulation		
Contact Person:	Blaine Winship	Phone Number:	850-414-3657
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bill McCollum, Attorney General of the State of Florida, and State of Florida, Office of Financial Regulation, plaintiffs, v. [XXX, foreign corporation doing business in Florida,] and [employees of XXX]		
Court with Jurisdiction:	Circuit Court of the Second Judicial Circuit, in and for Leon County, Florida		
Case Number:	[Unfiled]		
Summary of the Complaint:	Enforcement action for violations of chapter 517, Florida Statutes (2008), with respect to sales of certain unregistered securities to various portfolio funds of State Board of Administration. Causes of action include: (1) unlawful sales of unregistered securities; (2) securities fraud; (3) statutory unworthiness for failure to know clients and relevant facts; (4) statutory unworthiness for supervisory failures. Remedies to be sought would include restitution (rescission, legal interest on face amount of transactions, attorneys’ fees, costs); fines; supervisory improvements.		
Amount of the Claim:	\$25 million plus (estimate), exclusive of attorneys’ fees, costs, fines.		
Specific Statutes or Laws (including GAA) Challenged:	Sections 517.07, 517.301, 517.061, Florida Statutes (2008)		
Status of the Case:	Unfiled to date		
Who is representing (of record) the state in this lawsuit? Check all that apply.	James McAuley, OFR	Agency Counsel	
	Blaine Winship, Scott Palmer, OAG	Office of the Attorney General or Office of Financial Regulation	
	N/A	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

LEGAL AFFAIRS, DEPARTMENT OF, AND ATTORNEY GENERAL		FISCAL YEAR 2008-09			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT				179,937,552	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)				5,591,606	
FINAL BUDGET FOR AGENCY				185,529,158	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					0
Child Predator Cybercrime * Number of active cybercrime cases		290	15,301.34	4,437,388	
Lemon Law * Number of Arbitration Hearings Conducted		708	2,198.23	1,556,350	
Child Support Enforcement * Number of final orders obtained representing the Department of Revenue in child support enforcement proceedings.		59,679	129.29	7,716,169	
Antitrust * Number of cases enforcing provisions of the Antitrust Act		131	17,272.43	2,262,688	
Racketeer Influenced And Corrupt Organization (rico)/ Consumer Fraud * Cases enforcing the Racketeer Influenced and Corrupt Act and Unfair and Deceptive Trade Practices Act.		233	36,104.97	8,412,457	
Commission On Ethics Prosecutions * Number of cases prosecuted before the Florida Commission on Ethics		61	5,010.80	305,659	
Open Government Mediation * Number of cases settled or mediated		61	3,617.30	220,655	
Medicaid Fraud Control * Number of cases investigated involving Medicaid fraud activities		1,158	16,246.94	18,813,956	
Children's Legal Services * Number of cases representing the Department of Children and Families in juvenile dependency and termination of parental rights proceedings		32,723	258.61	8,462,479	
Civil Rights * Number of cases investigated and prosecuted involving violations of civil rights		61	6,857.44	418,304	
Solicitor General * Number of cases		375	4,562.74	1,711,026	
Opinions * Number of Opinions Issued		604	796.46	481,060	
Cabinet Support Services * Number of Cabinet Meetings		18	17,039.17	306,705	
Eminent Domain * Cases representing the Department of Transportation and other government agencies in eminent domain proceedings.		535	2,307.17	1,234,335	
Sexual Predator Civil Commitment Appeals * Number of cases		266	722.77	192,257	
Non-capital Criminal Appeals * Number of cases - non-capital appellate litigation		19,350	670.98	12,983,551	
Capital Appeals * Number of cases - capital appellate litigation		260	9,717.87	2,526,646	
Administrative Law * Number of cases		700	3,743.40	2,620,382	
Tax Law * Number of cases enforcing, defending and collecting tax assessments		1,284	1,206.99	1,549,774	
Civil Litigation Defense Of State Agencies * Number of cases defending the state and its agents in litigation of appellate, corrections, employment, state programs and tort.		4,517	2,035.65	9,195,032	
Grants-victims Of Crime Advocacy * Number of victims served through grants.		257,506	93.40	24,050,788	
Victim Notification * Number of appellate services provided		5,745	301.49	1,732,043	
Victim Compensation * Number of victim compensation claims paid		27,794	1,147.22	31,885,903	
Minority Crime Prevention Programs * Number of crime prevention programs assisted		5	1,264,908.60	6,324,543	
Grants-crime Stoppers * Number of crime stopper agencies assisted		28	144,343.57	4,041,620	
Crime Prevention/Training * Number of people attending training		2,499	179.57	448,736	
Investigation And Prosecution Of Multi-circuit Organized Crime-drugs * Annual volume of investigations handled		363	72.84	26,440	
Investigation And Prosecution Of Multi-circuit Organized Crime * Annual volume of investigations handled/financial assessments		457	15,346.51	7,013,357	
Prosecution Of Violations Of The Florida Election Code * Number of prosecutions handled.		404	3,301.62	1,333,854	
TOTAL				162,264,157	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS					21,547,881
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)					183,812,038

SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY

- (1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
- (2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
- (3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
- (4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.
- (5) Section I Final Budget for Agency and Section III Total Budget does not equal due to the Reversion and reappropriation of ARRA funds totaling \$1,717,029.

**Schedule XIV
Variance from Long Range Financial Outlook**

Agency: Department of Legal Affairs Contact: John L. Hamilton

Article III, Section 19(a)3, Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2009 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2010-2011 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2010-2011 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

- 3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from your Schedule I) or budget drivers, please explain the variance(s) below.

* R/B = Revenue or Budget Driver

Budget Entity Level Exhibits or Schedules

Civil Enforcement

41100100

**Schedule I Documents are located in the
Department Level – Manual Documents**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2008 - 2009

Department: Department of Legal Affairs

Chief Internal Auditor: Judy M. Goodman

Budget Entity: 41100100

Phone Number: 414-3591

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Office of Attorney General - Inspector General's Office Audit 08-52	Aug-09	Economic Crimes	<p>1. Accounts receivables were not always maintained properly.</p> <p>2. Economic Crimes collection efforts could be improved.</p> <p>3. Some settlement payments to victims of unfair or deceptive trade practices were late.</p> <p>4. Appealed cases should not be booked as a receivable until a verdict has been reached.</p>	<p>1. Economic Crimes routinely provided documentation to establish accounts receivable and as stated before, they reconciled accounts receivable to Finance and Accounting records.</p> <ul style="list-style-type: none"> • Finance and Accounting was provided accounts to be written off. • Economic Crimes provided an example of a recently approved uncollectible case checklist and uncollectible affidavit report regarding an uncollectible EC account. • Economic Crimes provided reconciliation of accounts receivable to Finance and Accounting records. <p>2. Economic Crimes reported uncollectible accounts receivable to Finance and Accounting. The accounts were sent to DFS for collection. Although an attorney was not dedicated to collections, there were attorneys within the Economic Crimes division who devoted increased time to collections and renegotiating settlement agreements, enhanced the review of financial documents, and increased the enforcement terms in assurance of voluntary compliance agreements.</p> <p>3. The settlement agreements provided for our review during the last six months demonstrated timely restitution payments.</p> <p>4. Regarding the case referred to in our February 2009 report, the defendant's appeal was denied. There were no new reported instances of appealed cases for which accounts receivables were booked.</p>	

Office of Policy and Budget - July 2009

Budget Entity Level Exhibits or Schedules

Constitutional Legal Services

41100200

**Schedule I Documents are located in the
Department Level – Manual Documents**

Budget Entity Level Exhibits or Schedules

Criminal and Civil Litigation Defense

41100300

**Schedule I Documents are located in the
Department Level – Manual Documents**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2008 - 2009

Department: Department of Legal Affairs

Chief Internal Auditor: Judy M. Goodman

Budget Entity: 41100300

Phone Number: 414-3591

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Office of Attorney General Inspector General Audit Report 07-02	Dec. 2008	Selected Bureau of Criminal Justice Programs	<p>1. There were questionable travel reimbursements paid by BCJP for some Florida Council on the Social Status of Black Men and Boys expenses.</p> <p>2. The monitoring of Crime Stoppers grants could be improved upon by requesting further documentation, requiring written approval of timesheets and vouchers, educating the council regarding allowable expenses, requiring timely remittances of reports, timely travel reimbursement submission, and monitoring of Single Audit Report findings.</p> <p>All timesheets and travel vouchers should be approved in writing by the appropriate supervisor.</p> <p>BCJP staff should provide technical assistance and guidance defining eligibility of expenses submitted for reimbursement. All questionable costs should be recovered from future remittances.</p> <p>Quarterly and monthly reports should be submitted in a timely manner.</p> <p>Requests for reimbursements for travel expenses should be submitted in a timely manner.</p> <p>BCJP staff should schedule and monitor findings brought about as a result of Single Audit Reports. The BCJP program staff should monitor progress of implementing corrective action regarding Single Audit findings. Single Audit Compliance Supplements should be evaluated annually and updated if needed.</p> <p>3. Florida Crime Prevention Institute accounting/record keeping could be strengthened.</p>	<p>1. Recommendation was implemented.</p> <p>2. Recommendation was implemented. For those months reviewed, copies of supporting documentation were obtained. In fiscal year 2009-2010 copies of supporting documentation are to be submitted with ALL reimbursement requests.</p> <p>Recommendation was implemented.</p> <p>Recommendation was implemented.</p> <p>Although the deadlines are being monitored, some of the grantees are not supplying reports on time. Deadlines are going to be extended slightly to facilitate compliance with the grant. Noted improvement in the compliance with deadlines was noted during the periods monitored.</p> <p>Recommendation was implemented.</p> <p>Recommendation was implemented.</p> <p>3. Checks are stamped upon receipt and deposits reconciled monthly to Finance and Accounting records. Refunds are tracked in the FCPTI database.</p> <p>The Lotus Notes application is still under construction therefore that recommendation remains to be implemented.</p>	

Budget Entity Level Exhibits or Schedules

Victim Services

41100400

**Schedule I Documents are located in the
Department Level – Manual Documents**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2008 - 2009

Department: Department of Legal Affairs

Chief Internal Auditor: Judy M. Goodman

Budget Entity: 41100400

Phone Number: 414-3591

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Office of Attorney General Inspector General Audit Report No. 08-28	Jun-09	Bureau of Criminal Justice Victims Compensation Payments	<p>1. A review of the Internal Controls related to the processing of claims indicated that in the Lotus Notes VAN system some people have the ability to both enter and approve claims.</p> <p>2. Although in general, Victim Compensation claims sample payments reviewed were found to be in compliance with payment guidelines, there were opportunities for improvement.</p> <p>3. Enhancements could be made to the VAN system to improve accountability and claims processing performance.</p> <p>4. Fund balances continue to accumulate while health care bills remain unpaid.</p> <p>5. The domestic violence program payment process is weak and allows opportunity for misuse of funds.</p> <p>6. There is no determination of financial hardship when considering the effect of property losses on elderly/disabled victims.</p> <p>We were unable to determine whether serious diminution occurred, as required by Florida statute, in victims' lives based on current qualifying criteria.</p> <p>7. Accountability needs to be strengthened regarding sexual battery test approval documentation.</p>	<p>1. Not implemented.</p> <p>2. Most of the findings have not been implemented. Although there has been agreement in principle to the intent of some of the recommendations and concurrence with the recommendations, most of the recommendations would call for VAN system modifications. Although the division hired a Lotus Notes systems programmer, his programming efforts have been directed towards the Bureau of Criminal Justice Programs.</p> <p>3. Not implemented. Substantive VAN enhancements have not been made. Lotus Notes database systems programmer hired directed his programming efforts towards Bureau of Criminal Justice Programs.</p> <p>4. The balance in the Crimes Compensation Trust Fund has decreased. Training has been routinely conducted to instruct victim advocates about eligibility requirements. All recommendations regarding VAN enhancements have not been implemented. There have been attempts to manually clean-up pending files in lieu of VAN enhancements.</p> <p>5. Not implemented. There have been some efforts to move towards utilizing bank cards to control the type of purchases made with the relocation proceeds, but bank cards are not being used yet.</p> <p>6. Not implemented. It is the division's position that client certification of hardship meets the assessment for need. We noted three property loss subrogation recoveries from the period 2006-2009 year-to-date as of 6/18/09.</p> <p>7. Not implemented. However, the quality assurance reviews audit documentation for sexual battery claims. Continuous auditing routines could advise unusual activity which could be indicative of fraudulent claims.</p>	

Budget Entity Level Exhibits or Schedules

Executive Direction and Support Services

41100500

**Schedule I Documents are located in the
Department Level – Manual Documents**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2008 - 2009

Department: Department of Legal Affairs

Chief Internal Auditor: Judy M. Goodman

Budget Entity: 41100500

Phone Number: 414-3591

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2009-020	7/1/2008	Lotus Notes Applications	<p>1. Aspects of the Department's Lotus Notes systems development software, and the Department's configuration thereof, limited the Department's deployment of appropriate systems development controls.</p> <p>2. The Department's policies and procedures did not provide for certain systems development controls included in industry best practices.</p> <p>3. Some instances existed where the Department lacked documentation of the authorization and testing of program changes, the approval of program changes for implementation, and the names of employees who moved program changes into production.</p>	<p>1. Budget and resource constraints have continued to prevent acquisition or development of software to achieve automated logging of program changes. The Department has completed the following:</p> <p>1.2. Established project and life cycle roles and responsibilities for development and business staff.</p> <p>1.3. Established Data Security Classification, System Availability Impact Classification, System Risk Classification, and Request Classification standards which will be used to facilitate data protection and I.T. prioritization and governance.</p> <p>1.4. Established internal I.T. policy to implement the design lock feature as appropriate when simultaneous use of the same system design by multiple developers is anticipated.</p> <p>1.5. Made additional changes to the ISDM and other procedures as needed and feasible within resource constraints, to address change management and access control.</p> <p>1.6. Establishment of an automated and centralized database for storing project and life cycle documentation will be included in the development of an I.T. Prioritization and Governance application. This project will be initiated upon completion of Domino/Notes migration, subject to resource availability.</p> <p>2. See Current Status provided in Finding No. 1.</p> <p>3. See Current Status provided in Finding No. 1.</p>	

			<p>4. Some instances existed of excessive and inappropriate access privileges to Lotus Notes applications and data.</p> <p>5. In addition to the matters discussed in Finding No. 4, certain Department security controls related to Lotus Notes and the supporting network environment needed improvement. We have not disclosed specific details of these issues in this report to avoid the possibility of compromising the Department's data and IT resources.</p>	<p>4. The Department has reviewed the current access privileges of Notes development staff and has reduced these privileges where possible. A new policy was implemented to ensure that future developer access will be limited to privileges required for the assigned job duties, and will take into consideration the Data and System classification of the database, the level of support required by the agency for the database in question, and the experience level of the developer being granted access. The Department also implemented a policy limiting use of the system account where possible. Additional restrictions on access privileges of Notes development staff would negatively impact the staff's ability to adequately support the business needs of the agency.</p> <p>5. The Department is in the process of implementing additional security controls in each of the three areas identified in the report. Specific details of the implementation are not being disclosed in this report due to security and confidentiality concerns; however the Department will provide such information upon request.</p>	
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Budget Entity Level Exhibits or Schedules

Statewide Prosecution

41200100

**Schedule I Documents are located in the
Department Level – Manual Documents**

Budget Entity Level Exhibits or Schedules

Florida Elections Commission

41300100

**Schedule I Documents are located in the
Department Level – Manual Documents**

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): DEPARTMENT OF LEGAL AFFAIRS
Agency Budget Officer/OPB Analyst Name: SARAH NORTELUS / MELISSA PATINO

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	41100XXX	41200100	41300100		

1. GENERAL					
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)		Y	Y	Y	
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)		Y	Y	Y	
AUDITS:					
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)		Y	Y	Y	
1.4 Has security been set correctly? (CSDR, CSA)		Y	Y	Y	
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					
2. EXHIBIT A (EADR, EXA)					
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?		Y	Y	Y	
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?		Y	Y	Y	
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?		Y	Y	Y	
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?		Y	Y	Y	
3. EXHIBIT B (EXBR, EXB)					
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.		Y	Y	Y	
AUDITS:					
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")		Y	Y	Y	
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")		Y	Y	Y	
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y		
4.2	Is the program component code and title used correct?	Y	Y	Y		
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y		
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y		
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y		
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	N/A	N/A	N/A		
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y		
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	Y	Y		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y		
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A	N/A	N/A		
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A	N/A		
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y		
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y	Y	Y		
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y	Y	Y		
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y	Y	Y		
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A		
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y		
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y		
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y		
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y		
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y		
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A		
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y		
8.10	Are the statutory authority references correct?	Y	Y	Y		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y		
8.16	Are the Schedule I revenues consistent with the FST's reported in the Exhibit D-3A?	Y	Y	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y	Y		
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y		
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y		
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y		
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y		
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y		
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y		
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y		
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y		
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y		
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y		
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y	Y	Y		
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y		
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y		
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y		
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y		
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						

Action		Program or Service (Budget Entity Codes)				
		41100XXX	41200100	41300100		
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y		
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y		
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y		
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y		
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y		
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y		
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y		
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y		
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y		
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y		
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y		
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					

		Program or Service (Budget Entity Codes)				
Action		41100XXX	41200100	41300100		
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y		
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y		
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y		
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y		